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**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**

☐ Declaration Submitted With Initial Filing **OR** ☒ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number	3524/180
First Named Inventor	OZOLINS
COMPLETE IF KNOWN	
Application Number	10/643,663
Filing Date	August 19, 2003
Art Unit	Not Yet Assigned
Examiner Name	Not Yet Assigned

**I hereby declare that:**

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

COMPLEMENTARY TRADING OF INTERESTS

(Title of the Invention)

the specification of which

☐ is attached hereto**OR**☒ was filed on (MM/DD/YYYY) 8/19/2003 as United States Application Number or PCT International

Application Number 10/643,663 and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

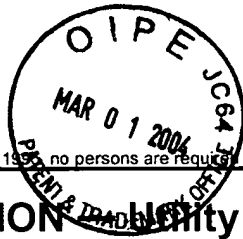
Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				Yes	No
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

[Page 1 of 2]

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



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**DECLARATION of Utility or Design Patent Application**Direct all correspondence to: ☒ Customer Number: 29858 OR ☐ Correspondence address below**Name**

Matthew J. Marquardt, Brown Raysman Millstein Felder &amp; Steiner LLP

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**State**

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**ZIP**

10022

**Country**

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**Telephone**

212-895-2000

**Fax**

212-895-2900

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**NAME OF SOLE OR FIRST INVENTOR:**☐ A petition has been filed for this unsigned inventor**Given Name**(first and middle [if any])  
Andrew**Family Name**or Surname  
HAUSMAN**Inventor's  
Signature****Date**

2/26/04

**Residence: City**

Summit

**State**

NJ

**Country**

US

**Citizenship**

US

**Mailing Address**

24 Manor Hill Road

**City**

Summit

**State**

NJ

**ZIP**

07901

**Country**

US

**NAME OF SECOND INVENTOR:**☐ A petition has been filed for this unsigned inventor**Given Name**

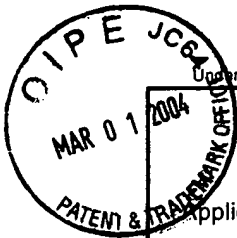
(first and middle [if any])

**Family Name**

or Surname

**Inventor's  
Signature****Date****Residence: City****State****Country****Citizenship****Mailing Address****City****State****ZIP****Country**

Additional inventors or a legal representative are being named on the supplemental sheet(s) PTO/SB/02A or 02LR attached hereto.



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**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: BLOOMBERG LPApplication No./Patent No.: 10/643,663 Filed/Issue Date: August 19, 2003Entitled: Complementary Trading of InterestsBLOOMBERG LP, a Delaware Limited Partnership,  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☐ Copies of assignments or other documents in the chain of title are attached.  
[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

February 26, 2004

Date

Matthew J. Marquardt, Reg. No. 40,997

Typed or printed name

Signature

Attorney for Applicant

Title

## ASSIGNMENT

WHEREAS, I, Andrew HAUSMAN, a citizen of the United States, residing at Summit, New Jersey, (hereinafter, together with my heirs, executors, administrators and legal representatives referred to as "Assignor") have invented one or more inventions (hereinafter referred to as "said Invention(s)") disclosed in:

United States Provisional Patent Application Serial No. 60/404,789, entitled "Complementary Trading of Interests," filed August 19, 2002 in the United States Patent and Trademark Office;

United States Patent Application Serial No. 10/643,663, entitled "Complementary Trading of Interests," filed August 19, 2003 in the United States Patent and Trademark Office; and

International Patent Application Serial No. PCT/US03/25948, entitled "Complementary Trading of Interests," filed August 19, 2003 in the United States Patent and Trademark Office as Receiving Office under the Patent Cooperation Treaty;

(hereinafter collectively referred to as "said Application");

WHEREAS, Bloomberg LP (hereinafter together with its successors and assigns referred to as "Assignee"), a limited partnership organized and existing under the laws of Delaware, having a place of business at 499 Park Avenue, New York, New York 10022, is desirous of obtaining all right, title and interest in, to and under said invention(s) and said applications.

NOW, THEREFORE, for the sum of \$10.00 and other good and valuable consideration, including employment by Assignee, the receipt and sufficiency of which Assignor hereby acknowledges, Assignor has sold, assigned, transferred and set over, and by these presents hereby sells, assigns, transfers and sets over to Assignee all of Assignor's right, title and interest in, to and under said invention(s) and said Application, including (a) the right to apply for patents in the United States of America and in all foreign countries for said invention(s), (b) all applications for patents for said invention(s) or based on said Application in all countries, now filed or to be filed, including all divisional, renewal, substitute, continuation, continuation-in-part and convention applications based in whole or in part upon said invention(s) or upon said Application, (c) all patents which may issue on said invention(s) and on any application transferred by this Assignment in the United States and foreign countries, and any and all reissues, extensions, divisions, renewals, substitutes, continuations or continuations-in-part of patents granted for said invention(s) or upon such Application, for the full term or terms for which the patents may be issued, and (d) every priority right that is or may be predicated upon or arise from said invention(s), said Application and such patents under any applicable international or bilateral treaty, agreement or convention. Assignor hereby authorizes Assignee to file patent applications in all countries for any or all of said invention(s) in Assignor's name, or in Assignee's name, or otherwise as Assignee may deem advisable, under any international or bilateral treaty, agreement or convention, or otherwise.

Assignor hereby covenants and agrees that Assignor will, upon reasonable request of Assignee, subject to Assignor's prior commitments, and without further consideration but at the expense of the Assignee, communicate any facts known to Assignor relating to said invention(s) and the history

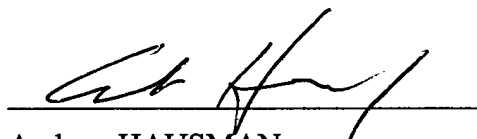
thereof, testify in any legal proceeding, execute all lawful papers required to effect the foregoing, and generally do all further acts which may be deemed necessary by Assignee to obtain and enforce proper patent protection for said invention(s) in all countries.

Assignee agrees to indemnify and defend Assignor from and against all claims, law suits, expenses, liabilities, awards, damages, judgments, sanctions, or losses ("Claims") which Assignee may incur or to which Assignor may become subject and which relate to or arise out of Assignee's use of the said invention(s). Assignee also agrees to reimburse Assignor for all expenses (including reasonable counsel fees) as they are incurred by Assignor in defending against or providing evidence relating to any such Claims; provided that Assignee shall have the exclusive right to select counsel to defend Assignor against any such Claims. Assignee shall have no indemnification or defense obligation to Assignor with respect to any action involving Assignor's breach of contract, bad faith, willful or reckless misconduct, or with respect to violation of any policy, procedure, or instruction, of Assignee, or to the extent that the Claims arise as a result of or relate to Assignor's conduct outside the ordinary course of any employment of Assignor by Assignee. Assignor hereby agrees promptly to notify Assignee in the event Assignor receives actual notice of any such Claims. Assignor also agrees to cooperate with Assignee in Assignee's defense against Claims by making himself / herself / themselves available at reasonable times and reasonable places to representatives of Assignee and/or Assignee's legal counsel.

If any part of this Assignment shall be held by a court of competent jurisdiction to be void, invalid or inoperative, the remaining provisions of this Assignment shall not be affected and shall continue in effect, and the invalid provision shall be deemed modified to the least degree necessary to remedy such invalidity.

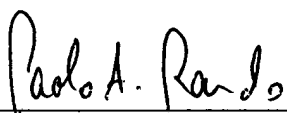
IN TESTIMONY WHEREOF, Assignor has executed this document on the date indicated below.

Dated: 26 February 2004

  
Andrew HAUSMAN

STATE OF NEW YORK                    )  
  ) ss.:  
COUNTY OF NEW YORK                )

On February 26, 2004, before me, the undersigned, personally appeared Andrew HAUSMAN, personally known to me or proved to me on the basis of satisfactory evidence to be the individual whose name is subscribed to the within instrument and acknowledged to me that he or she executed the same in his capacity, and that by his or her signature on the instrument, the individual, or the person upon behalf of which the individual acted, executed the instrument.

  
\_\_\_\_\_  
Signature and Office of individual taking acknowledgment

PAOLO A. RAMUNDO  
Notary Public, State of New York  
No. 02RA6029081  
Qualified in New York County  
Commission Expires August 09, 2005